

## PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail** Mail Stop ISSUE FEE  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 or **Fax** (571)-273-2885



INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

8791 7590 08/11/2008

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
 1279 OAKMEAD PARKWAY  
 SUNNYVALE, CA 94085-4040

11/18/2008 WASFAW2 00000011 022666 10530445

01 FC:1501 1510.00 DA  
 02 FC:1504 300.00 DA  
 03 FC:8001 30.00 DA

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

## Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

Christopher P. Marshall	(Depositor's name)
<i>C. P. Marshall</i>	(Signature)
11/12/2008	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/530,445	04/05/2005	Chang-Hee Lee	5489P074	4816

TITLE OF INVENTION: WAVELENGTH-DIVISION-MULTIPLEXING PASSIVE OPTICAL NETWORK UTILIZING FIBER FAULT DETECTORS AND/OR WAVELENGTH TRACKING COMPONENTS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1440	\$300	\$0	\$1740	11/12/2008

EXAMINER	ART UNIT	CLASS-SUBCLASS
PHAN, HANH	2613	398-079000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,
- (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
 2  
 3

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

Novera Optics, Inc.

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Santa Clara, California

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☒ Issue Fee
- ☒ Publication Fee (No small entity discount permitted)
- ☒ Advance Order - # of Copies **ten (10)**

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☒ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number **02-2666** (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.
- ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature

*Lester J. Vincent*

Date November 12, 2008

Typed or printed name

**Lester J. Vincent**

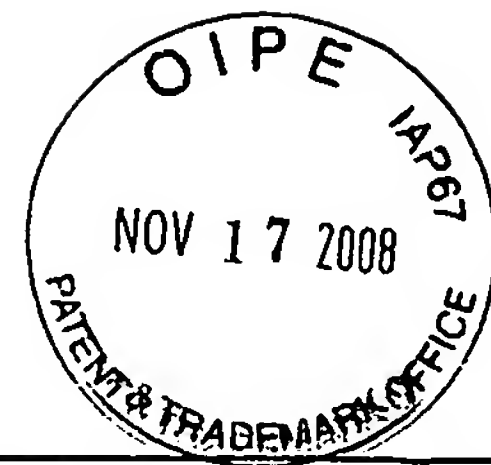
Registration No. 31,460

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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 (Signature)  
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/530,445 04/05/2005 Chang-Hee Lee 5489P074 4816

TITLE OF INVENTION: WAVELENGTH-DIVISION-MULTIPLEXING PASSIVE OPTICAL NETWORK UTILIZING FIBER FAULT DETECTORS  
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nonprovisional NO \$1440 \$300 \$0 \$1740 11/12/2008

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PHAN, HANH 2613 398-079000

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1 BLAKELY, SOKOLOFF, TAYLOR  
 & ZAFMAN LLP

2

3

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Santa Clara, California

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Authorized Signature Lester J. Vincent

Date November 12, 2008

Typed or printed name Lester J. Vincent

Registration No. 31,460

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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## FEE TRANSMITTAL FOR FY 2009

Page 1 of 4

(Effective on 10/02/2008. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

TOTAL AMOUNT OF PAYMENT (\$) 1,840.00

Complete if known:

Application No. 10/530,445  
Filing Date April 5, 2005  
First Named Inventor Chang-Hee Lee  
Examiner Name Phan, Hanh  
Art Unit 2613  
Attorney Docket No. 5489P074

Applicant claims small entity status. See 37 CFR 1.27.

### METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify)

☒ Deposit Account

Deposit Account Number : 02-2666

Deposit Account Name: \_\_\_\_\_

☒ The Director is Authorized to do the following with respect to the above-identified Deposit Account:

☒ Charge fee(s) indicated below.

☒ Charge any additional fee(s) or underpayment of fee(s) during the pendency of this application.

☐ Charge fee(s) indicated below except for the filing fee

☒ Credit any overpayments.

☒ Any concurrent or future reply that requires a petition for extension of time should be treated as incorporating an appropriate petition for extension of time and all required fees should be charged.

Warning: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

### FEE CALCULATION

#### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Large Entity		Small Entity		Fee Description		Fees Paid (\$)
Fee Code	Fee (\$)	Fee Code	Fee (\$)			
1011	330	2011	165	Utility application filing fee	1,090/545	_____
1111	540	2111	270	Utility search fee		_____
1311	220	2311	110	Utility examination fee		_____
1012	220	2012	110	Design application filing fee	460/230	_____
1112	100	2112	50	Design search fee		_____
1312	140	2312	70	Design examination fee		_____
1013	220	2013	110	Plant filing fee	720/360	_____
1113	330	2113	165	Plant search fee		_____
1313	170	2313	85	Plant examination fee		_____
1014	330	2014	165	Reissue filing fee	1,520/760	_____
1114	540	2114	270	Reissue search fee		_____
1314	650	2314	325	Reissue examination fee		_____
1005	220	2005	110	Provisional application filing fee		_____
SUBTOTAL (1) \$ <u>0.00</u>						

**2. EXCESS CLAIM FEES****Fee Description****Large Entity      Small Entity****Fee      Fee      Fee      Fee****Code      (\$)      Code      (\$)      Fee Description**

1202      52      2202      26

1201      220      2201      110

1203      390      2203      195

1204      220      2204      110

1205      52      2205      26

Each claim over 20

Each independent claim over 3

Multiple dependent claims, if not paid

Reissue: each claim over 20 and more than in the original patent

Reissue: each independent claim more than in the original patent

**Extra Claims****Fee****Fees Paid (\$)****Total Claims** \_\_\_\_\_ **– 20 or HP =** \_\_\_\_\_**X** **\$ 26.00** **=** \_\_\_\_\_

HP = highest number of total claims paid for, if greater than 20

**Independent Claims** \_\_\_\_\_ **– 3 or HP =** \_\_\_\_\_**X** **\$110.00** **=** \_\_\_\_\_

HP = highest number of independent claims paid for, if greater than 3

**Multiple Dependent Claims**\_\_\_\_\_ **=** \_\_\_\_\_**SUBTOTAL (2) \$ 0.00****3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 C.F.R. 1.52(e)), the application size fee due is \$270 (\$135 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

<b><u>Total Sheets</u></b>	<b><u>Extra Sheets</u></b>	<b><u>Number of each additional 50 or fraction thereof</u></b>	<b><u>Fee from below</u></b>	<b><u>Fees paid (\$)</u></b>
_____	<b>– 100 =</b> _____	<b>/ 50 =</b> _____ (round up to whole number)	<b>X \$135.00</b>	_____

**Large Entity****Fee      Fee****Code      (\$)****Small Entity****Fee      Fee****Code      (\$)****Fee Description: Application size fee for each additional group of 50 sheets beyond initial 100 sheets (count spec & drawings except sequences & program listings):**

1081      270      2081      135

1082      270      2082      135

1083      270      2083      135

1084      270      2084      135

1085.....270      2085      135

Utility

Design

Plant

Reissue

Provisional

**SUBTOTAL (3) \$ 0.00**



**FEE CALCULATION (continued)****4. OTHER FEE(S)****Fees Paid (\$)**

Non-English Specification, \$130 fee (no small entity discount)

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1813	8,800	1813	8,800	Request for inter parties reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	130	2251	65	Extension for reply within first month	
1252	490	2252	245	Extension for reply within second month	
1253	1,110	2253	555	Extension for reply within third month	
1254	1,730	2254	865	Extension for reply within fourth month	
1255	2,350	2255	1,175	Extension for reply within fifth month	
1401	540	2401	270	Notice of Appeal	
1402	540	2402	270	Filing a brief in support of an appeal	
1403	1,080	2403	540	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	540	2452	270	Petition to revive - unavoidable	
1453	1,620	2453	810	Petition to revive - unintentional	
1501	1,510	2501	755	Utility issue fee (or reissue)	1,510
1502	860	2502	430	Design issue fee	
1503	1,190	2503	595	Plant issue fee	
1462	400	1462	400	Petitions to the Commissioner (CFR 1.17(f) Group I)	
1463	200	1463	200	Petitions to the Commissioner (CFR 1.17(g) Group II)	
1464	130	1464	130	Petitions to the Commissioner (CFR 1.17(h) Group III)	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	810	2809	405	For filing a submission after final rejection (see 37 CFR 1.129(a))	
1814	140	2814	70	Statutory Disclaimer	
1810	810	2810	405	For each additional invention to be examined (see 37 CFR 1.19(b))	
1801	810	2801	405	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	300.00
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	
1454	1,410	1454	1,410	Acceptance of unintentionally delayed claim for priority	

Other fee (specify) Printed Copy of patent w/o color (10 copies) 30.00

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (4) \$ 1,840.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Lester J. VincentSignature:  Date: November 13, 2008Reg. Number: 31,460 Telephone Number: 408-720-8300

Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



## FEE TRANSMITTAL FOR FY 2009

Page 1 of 4

(Effective on 10/02/2008. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

TOTAL AMOUNT OF PAYMENT (\$) 1,840.00

Complete if Known:

Application No. 10/530,445  
Filing Date April 5, 2005  
First Named Inventor Chang-Hee Lee  
Examiner Name Phan, Hanh  
Art Unit 2613  
Attorney Docket No. 5489P074

Applicant claims small entity status. See 37 CFR 1.27.

### METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify)

☒ Deposit Account

Deposit Account Number : 02-2666

Deposit Account Name: \_\_\_\_\_

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1114	540	2114	270	Reissue search fee		
1314	650	2314	325	Reissue examination fee		
1005	220	2005	110	Provisional application filing fee		
SUBTOTAL (1) \$ 0.00						

**2. EXCESS CLAIM FEES****Fee Description**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	52	2202	26	Each claim over 20
1201	220	2201	110	Each independent claim over 3
1203	390	2203	195	Multiple dependent claims, if not paid
1204	220	2204	110	Reissue: each claim over 20 and more than in the original patent
1205	52	2205	26	Reissue: each independent claim more than in the original patent

	<u>Extra Claims</u>	<u>Fee</u>	<u>Fees Paid (\$)</u>
<b>Total Claims</b> _____ - 20 or HP = _____		X \$ 26.00 = _____	
HP = highest number of total claims paid for, if greater than 20			
<b>Independent Claims</b> _____ - 3 or HP = _____		X \$110.00 = _____	
HP = highest number of independent claims paid for, if greater than 3			
<b>Multiple Dependent Claims</b> _____		_____ = _____	
		<b>SUBTOTAL (2)</b>	\$ 0.00

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1082	270	2082	135	Design
1083	270	2083	135	Plant
1084	270	2084	135	Reissue
1085.....	270	2085	135	Provisional

**SUBTOTAL (3)** \$ 0.00

## FEE CALCULATION (continued)

Page 3 of 4

## 4. OTHER FEE(S)

				<u>Fees Paid (\$)</u>	
Non-English Specification, \$130 fee (no small entity discount)					_____
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1806	180	1806	180	Submission of Information Disclosure Stmt	_____
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	_____
1809	810	2809	405	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
1814	140	2814	70	Statutory Disclaimer	_____
1810	810	2810	405	For each additional invention to be examined (see 37 CFR 1.19(b))	_____
1801	810	2801	405	Request for Continued Examination (RCE)	_____
1802	900	1802	900	Request for expedited examination of a design application	_____
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	<u>300.00</u>
1505	300	1505	300	Publication fee for republication	_____
1803	130	1803	130	Request for voluntary publication or republication	_____
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	_____
1454	1,410	1454	1,410	Acceptance of unintentionally delayed claim for priority	_____
Other fee (specify) <u>Printed Copy of patent w/o color (10 copies)</u>					<u>30.00</u>
Other fee (specify) _____					_____
<b>SUBTOTAL (4) \$ 1,840.00</b>					_____

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SUBMITTED BY:Typed or Printed Name: Lester J. Vincent

Signature: \_\_\_\_\_

Date: November 12, 2008Reg. Number: 31,460Telephone Number: 408-720-8300

Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450